



Attorney Docket No.: 2002834-0115

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Caplan, *et al.* Art Unit: 1614  
Serial No: 09/976,963 Examiner:  
Filing Date: October 12, 2001  
Title: CONDUCTANCE OF IMPROPERLY FOLDED PROTEINS THROUGH THE  
SECRETORY PATHWAY AND RELATED METHODS FOR TREATING  
DISEASE

**BOX MISSING PARTS**

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

Sir:

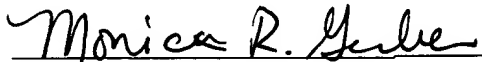
**TRANSMITTAL OF RESPONSE TO THE NOTICE TO FILE MISSING PARTS**

In response to the Notice to File Missing Parts of Application mailed by the U.S. Patent and Trademark Office on November 1, 2001, enclosed herewith please find the following:

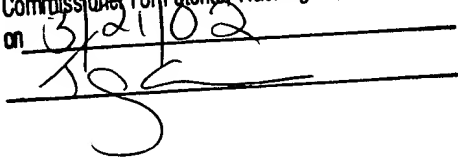
1. Notice to File Missing Parts of Nonprovisional Application (2 pages);
2. Petition for Extension of Time (1 page);
3. Executed Appointment of Attorney (1 page);
4. Executed Declaration (3 pages);
5. Two Executed Written Assertions of Small Entity Status (3 pages);
6. Executed Right of Assignee to Take Action (2 pages);
7. Copy of Executed Assignment (2 pages);
8. Substitute Specification (68 pages)
9. Check in the amount of \$460.00;
10. Check in the amount of \$65.00; and
11. Return Postcard

Additionally, please charge any further fees associated with this filing or apply any credits to our Deposit Account No. 03-1721.

Respectfully submitted,

  
Monica R. Gerber, M.D., Ph.D.  
Reg. No. 46,724

Choate, Hall & Stewart  
Exchange Place  
53 State Street  
Boston, MA 02109  
(617) 248-5000  
Dated: March 20, 2002  
3376192\_1.DOC

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as first  
class mail in an envelope addressed to: Assistant  
Commissioner For Patents, Washington, D.C. 20231  
on 3/21/02  




MAR 25 2002

3:35PM

CHOATE HALL &amp; STEWART 248-4000

NO.513

P.2

ATTORNEY DOCKET NO.: 2002834-0115

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Caplan, et al..

Examiner:

Serial No: 09/976,963

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Title: CONDUCTANCE OF IMPROPERLY FOLDED PROTEINS THROUGH THE  
SECRETORY PATHWAY AND RELATED METHODS FOR TREATING  
DISEASEAssistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION  
(37 CFR 3.73(b))

The assignee of the entire right, title and interest, Yale University, hereby seeks to take  
action in the Patent and Trademark Office in the above-referenced matter.

Ownership by the assignee is established as follows:

\_\_\_\_\_ documents already recorded in the PTO on \_\_\_\_\_

Reel \_\_\_\_\_ Frame \_\_\_\_\_ ; and

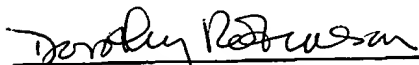
\_\_\_\_\_ documents already recorded in the PTO on \_\_\_\_\_

Reel \_\_\_\_\_ Frame \_\_\_\_\_

X documents separately submitted for recordal to the PTO (a copy of these  
documents is attached).

**STATEMENT**

I, a person authorized to sign on behalf of the assignee, have reviewed the evidentiary documents referred to above and certify that, to the best of my knowledge and belief, title is mine/ours as assignees who seek to take further action.



Dorothy Robinson  
Vice President and General Counsel  
Yale University

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/976,963	10/12/2001	Michael S. Caplan	2002834-0115

CONFIRMATION NO. 2907

24280  
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Boston, MA 02109

DOCKETED BY: LDL  
NIEMP

FORMALITIES LETTER



\*OC000000007010712\*

DUE DATE:

12/01/01 - 1  
1/01/02 Due  
2/01/02 (1)  
3/01/02 (2)

Date Mailed: 11/01/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

03/27/2002 BABRAHA1 00000127 09976963

01 205

65.00 DP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

5/01/02 \$65

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- A substitute specification in compliance with 37 CFR 1.52 because:
  - Papers contain improper margins. Each sheet must have a left margin of at least 2.5 cm (1") and top, bottom and right margins of at least 2.0 cm (3/4")

A copy of this notice **MUST** be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

[illegible]